

## UNITED STATES PATENT AND TRADEMARK OFFICE

COMMISSIONER FOR PATENTS  
UNITED STATES PATENT AND TRADEMARK OFFICE  
WASHINGTON, D.C. 20231  
www.uspto.gov

| APPLICATION NUMBER | FILING/RECEIPT DATE | FIRST NAMED APPLICANT | ATTORNEY DOCKET NUMBER |
|--------------------|---------------------|-----------------------|------------------------|
| 09/811,146         | 03/15/2001          | Sorin                 | 21501-729              |

CONFIRMATION NO. 5804

## FORMALITIES LETTER



\*OC000000006094308\*

021971  
WILSON SONSINI GOODRICH & ROSATI  
650 PAGE MILL ROAD  
PALO ALTO, CA 943041050

Date Mailed: 05/18/2001

## NOTICE TO FILE MISSING PARTS OF NONPROVISIONAL APPLICATION

FILED UNDER 37 CFR 1.53(b)

## Filing Date Granted

An application number and filing date have been accorded to this application. The item(s) indicated below, however, are missing. Applicant is given **TWO MONTHS** from the date of this Notice within which to file all required items and pay any fees required below to avoid abandonment. Extensions of time may be obtained by filing a petition accompanied by the extension fee under the provisions of 37 CFR 1.136(a).

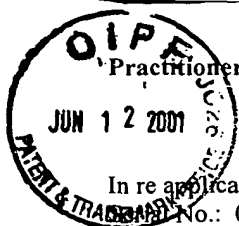
- The statutory basic filing fee is missing.  
*Applicant must submit \$ 710 to complete the basic filing fee and/or file a small entity statement claiming such status (37 CFR 1.27).*
- Total additional claim fee(s) for this application is \$810.  
    ■ \$810 for 45 total claims over 20.
- The oath or declaration is missing.  
*A properly signed oath or declaration in compliance with 37 CFR 1.63, identifying the application by the above Application Number and Filing Date, is required.*
- To avoid abandonment, a late filing fee or oath or declaration surcharge as set forth in 37 CFR 1.16(e) of \$130 for a non-small entity, must be submitted with the missing items identified in this letter.
- **The balance due by applicant is \$ 1650.**

*A copy of this notice **MUST** be returned with the reply.*

*Sady*  
Customer Service Center  
Initial Patent Examination Division (703) 308-1202

PART 2 - COPY TO BE RETURNED WITH RESPONSE

06/15/2001 AZERBAIJ 00000101 232415 09811146  
01 FC:101 710.00 CH  
02 FC:103 610.00 CH  
03 FC:105 130.00 CH



Practitioner's Docket No. 2001-729

06-13-01

Seci  
PATENT  
3

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re application of: Sorin

Group No.: 2874

Serial No.: 09/811,146

Examiner: Not assigned

Filed: 03/15/2001

For: TUNABLE DYNAMIC GAIN FLATTENING FILTER USING POLARIZATION DELAYS

Commissioner for Patents  
Washington, D.C. 20231

COMPLETION OF FILING REQUIREMENTS—NONPROVISIONAL APPLICATION

- I. This replies to the Notice to File Missing Parts of Application (PTO-1533) mailed 05/18/2001. A copy of the Notice to File Missing Parts of Application—Filing Date Granted (Form PTO-1533) is enclosed.

DECLARATION OR OATH

- II. No declaration or oath was filed. Enclosed is the original declaration or oath for this application.

POWER OF ATTORNEY

- III. Enclosed is an original Power of Attorney by Assignee to Exclusion of Inventor.

IV.

COMPLETION FEES

|   |            |
|---|------------|
| 1. Filing Fee: Original patent application (37 C.F.R. 1.16(a))    | \$710      |
| 2. Fee for Claims: Each claim in excess of 20 (37 C.F.R. 1.16(c)) | \$810      |
| 3. Surcharge Fee: Late payment of filing fee (37 C.F.R. 1.16(e))  | \$130      |
| 4. Assignment (See "ASSIGNMENT COVER SHEET".)                     | \$40       |
| Total completion fees   | \$1,690.00 |

EXTENSION OF TIME

- V. Applicant believes that no extension of term is required. However, this conditional petition is being made to provide for the possibility that applicant has inadvertently overlooked the need for a petition and fee for extension of time.  
Fee Due: \$0

REQUEST FOR CORRECTED FILING RECEIPT

- VI. Attached is a copy of the official filing receipt for which issuance of a corrected filing receipt is respectfully requested. There are errors with respect to the following, which are incorrectly entered.

Error in

Correct data

- |                                    |   |
|------------------------------------|---|
| 1. Applicant name and/or addresses | - Wayne V. Sorin, Mountain View, CA   |
| 2. Priority Claim                  | - This application is a CIP of 09/765,971 01/19/2001<br>which is a CIP of 09/729,661 12/04/2000<br>which is a CIP of 09/666,763 09/21/2000<br>which is a CIP and claims the benefit of 60/206,767 05/23/2000<br>09/666,763 also being a CIP 09/571,092 5/15/2000<br>which is a CIP 09/425,099 09/23/1999 PAT 6,233,379<br>which is a CIP 09/022,413 02/12/1998 PAT 6,021,237<br>which claims priority to KR 97-24796 06/06/1997 |

At least one of the above corrections is due to applicant's error and the fee under 37 C.F.R. 1.19(h), of \$25.00 applies.

TOTAL FEE DUE

- VII. The total fee due is: Completion fees \$1,690.00 Extension of Time Fees \$0 Corrected Filing Receipt Fees \$25.00  
TOTAL FEE DUE \$1,715.00

PAYMENT OF FEES

- VIII. Charge Account No. 23-2415 (21501-729) in the amount of \$1,715.00.  
Please charge Account No. 23-2415 (21501-729) for any fees that may be due by this paper.

Paul Davis, Reg. No. 29,294

Wilson Sonsini Goodrich & Rosati  
650 Page Mill Road  
Palo Alto, CA 94304  
(650) 493-9300  
Customer No. 021971

Certificate of Express Mailing  
I hereby certify that this correspondence is being deposited  
with the U.S. Postal Service as ExpressMail (Label No.  
EL 713754539 US) in an envelope  
addressed to: Commissioner for Patents, Washington, D.C.  
20231 on 6/12/2001  
Sidney Mainbusan

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MAY 24 2001



Page 1 of 4



WILSON SONSINI,  
GOODRICH & ROSATI  
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WASHINGTON, D.C. 20231  
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| APPLICATION NUMBER | FILING DATE | GRP ART UNIT | FIL FEE REC'D | ATTY. DOCKET NO | DRAWINGS | TOT CLAIMS | IND CLAIMS |
|--------------------|-------------|--------------|---------------|-----------------|----------|------------|------------|
| 09/811,146         | 03/15/2001  | 2874         | 0.00          | 21501-729       | 3        | 65         | 3          |

CONFIRMATION NO. 5804

021971  
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650 PAGE MILL ROAD  
PALO ALTO, CA 943041050

FILING RECEIPT



\*OC000000006094307\*

DOCKET

Date Mailed: 05/18/2001

Receipt is acknowledged of this nonprovisional Patent Application. It will be considered in its order and you will be notified as to the results of the examination. Be sure to provide the U.S. APPLICATION NUMBER, FILING DATE, NAME OF APPLICANT, and TITLE OF INVENTION when inquiring about this application. Fees transmitted by check or draft are subject to collection. Please verify the accuracy of the data presented on this receipt. If an error is noted on this Filing Receipt, please write to the Office of Initial Patent Examination's Customer Service Center. Please provide a copy of this Filing Receipt with the changes noted thereon. If you received a "Notice to File Missing Parts" for this application, please submit any corrections to this Filing Receipt with your reply to the Notice. When the USPTO processes the reply to the Notice, the USPTO will generate another Filing Receipt incorporating the requested corrections (if appropriate).

Applicant(s)

-- Mountain View, CA --

-- Wayne V. -- Sorin, [Residence Not Provided]

Domestic Priority data as claimed by applicant

THIS APPLICATION IS A CIP OF 09/765,971 01/19/2001

WHICH IS A CIP OF 09/729,661 12/04/2000

WHICH IS A CIP OF 09/666,763 09/21/2000

WHICH CLAIMS BENEFIT OF 60/206,767 05/23/2000

AND A CIP OF 09/571,092 05/15/2000 CIP

WHICH IS A CIP OF 09/425,099 10/22/1999 PAT 6,233,379 \*

WHICH IS A CIP OF 09/022,413 02/12/1998 PAT 6,021,237

(\*) Data inconsistent with PTO records.

Foreign Applications

REPUBLIC OF KOREA 97-24796 06/06/1997

Projected Publication Date: To Be Determined - pending completion of Missing Parts

Non-Publication Request: No

Early Publication Request: No

Title